

Exhibit 300: Capital Asset Plan and Business Case Summary**Part I: Summary Information And Justification (All Capital Assets)****Section A: Overview (All Capital Assets)**

1. Date of Submission:

2. Agency: Small Business Administration

3. Bureau: HUBZone Empowerment Contracting

4. Name of this Capital Asset: GCBD: HUBZone System

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.) 028-00-01-03-01-3003-00

6. What kind of investment will this be in FY2009? (Please NOTE: Investments moving to O&M in FY2009, with Planning/Acquisition activities prior to FY2009 should not select O&M. These investments should indicate their current status.) Mixed Life Cycle

7. What was the first budget year this investment was submitted to OMB? FY2001 or earlier

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The HUBZone Certification Tracking System (HCTS) is a mixed lifecycle investment. The current Hubzone investment, is an advanced, Internet-based electronic system that resides on a Coldfusion server accessing a SYBASE database server. This Web-based system enables small businesses to apply and be approved online for the HUBZone program. It enables government agencies to search for qualifying firms. It is one of the most complex, yet efficient databases that works cooperatively with the DoD's CCR system and SBA's Small Business Source System. In FY06 planning began to update (D/M/E) the current Internet based application for HUBZone Program and automated business processes with substantial embedded decision logic for certifications, re-certifications, program examinations, and adjudication of protests and appeals by contracting-out systems design, development, and maintenance using any of the newer programming languages now available.

9. Did the Agency's Executive/Investment Committee approve this request? Yes

a. If "yes," what was the date of this approval? 2/16/2006

10. Did the Project Manager review this Exhibit? Yes

11. Contact information of Project Manager?

12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project? Yes

a. Will this investment include electronic assets (including computers)? Yes

b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only) No

1. If "yes," is an ESPC or UESC being used to help fund this investment? No

2. If "yes," will this investment meet sustainable design principles? No

3. If "yes," is it designed to be 30% more energy efficient than relevant code?

13. Does this investment directly support one of the PMA initiatives? No

If "yes," check all that apply:

a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?)

The HUBZone Certification Tracking System (HCTS) is supported by an advanced, Internet-based electronic system that resides on a Coldfusion server accessing a SYBASE database server. This Web-based system enables small businesses to apply and be approved online for the HUBZone program. It enables government agencies to

search for qualifying firms. It is one of the most complex, yet efficient databases that works cooperatively with the DoD's CCR system and SBA's Small Business Source System.

14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.)

a. If "yes," does this investment address a weakness found during a PART review? No

b. If "yes," what is the name of the PARTed program? HUBZone Program

c. If "yes," what rating did the PART receive? Effective

15. Is this investment for information technology? Yes

If the answer to Question 15 is "Yes," complete questions 16-23 below. If the answer is "No," do not answer questions 16-23.

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance) Level 1

17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance) (1) Project manager has been validated as qualified for this investment

18. Is this investment or any project(s) within this investment identified as "high risk" on the Q4 - FY 2007 agency high risk report (per OMB Memorandum M-05-23) No

19. Is this a financial management system? No

a. If "yes," does this investment address a FFIA compliance area? No

1. If "yes," which compliance area:

2. If "no," what does it address?

b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52

20. What is the percentage breakout for the total FY2009 funding request for the following? (This should total 100%)

Hardware	0.000000
Software	33.000000
Services	62.000000
Other	5.000000

21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities? Yes

22. Contact information of individual responsible for privacy related questions:

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval? Yes

Question 24 must be answered by all Investments:

24. Does this investment directly support one of the GAO High Risk Areas? No

Section B: Summary of Spending (All Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

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**Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES
(REPORTED IN MILLIONS)**

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2007	CY 2008	BY 2009	BY+1 2010	BY+2 2011	BY+3 2012	BY+4 and beyond	Total
Planning:	0.075	0.005	0.002	0					
Acquisition:	1.03	0.445	0.148	0					
Subtotal Planning & Acquisition:	1.105	0.450	0.150	0					
Operations & Maintenance:	1.62	0.125	0.29	0.39					
TOTAL:	2.725	0.575	0.440	0.39					
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	0.64302	0.124	0.126	0.124					
Number of FTE represented by Costs:	8	2	2	2					

Note: For the multi-agency investments, this table should include all funding (both managing partner and partner agencies). Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's? Yes

a. If "yes," How many and in what year? 1 in Fiscal Year 2007 as replacement for incumbent, and maintained for each year thereafter.

3. If the summary of spending has changed from the FY2008 President's budget request, briefly explain those changes:
The BY08 Summary of Spending did not include the system enhancements now envisioned for this investment. In FY06 funding was allocated to initiate the planning for the D/M/E effort. The BY08 summary of spending incorporates the effects of this new effort in FY07 and beyond.

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Total Value should include all option years for each contract. Contracts and/or task orders completed do not need to be included.

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Contracts/Task Orders Table:																* Costs in millions
Contract or Task Order Number	Type of Contract/ Task Order	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/ Task Order	End date of Contract/ Task Order	Total Value of Contract/ Task Order (\$M)	Is this an Interagency Acquisition ? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)	Does the contract include the required security & privacy clauses? (Y/N)	Name of CO	CO Contact information (phone/email)	Contracting Officer Certification Level (Level 1,2,3,N/A)	If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition ? (Y/N)
64030001Q0004	Negotiated	Yes	9/27/2006	10/1/2006	12/31/2007	450.00	No	Yes	Yes	NA	Yes	Yes	Gurley, Sharon A	202-205-6622 / sharon.gurley@sba.gov	Level 3	

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

3. Do the contracts ensure Section 508 compliance? Yes

a. Explain why:

4. Is there an acquisition plan which has been approved in accordance with agency requirements? Yes

a. If "yes," what is the date? 2/16/2006

b. If "no," will an acquisition plan be developed?

1. If "no," briefly explain why:

Section D: Performance Information (All Capital Assets)

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures (indicators) must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov. The table can be extended to include performance measures for years beyond FY 2009.

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2007	Increase small business success by bridging competitive opportunity gaps facing entrepreneurs	Customer Results	Service Coverage	Frequency and Depth	The total amount of contract dollars going to HUBZone firms in a given year.			
2007	Increase small business success by bridging competitive opportunity gaps facing entrepreneurs	Mission and Business Results	Economic Development	Business and Industry Development	Number of jobs reported for HUBZone communities.			
2007	Increase small business success by bridging competitive opportunity gaps facing entrepreneurs	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Amount of time individual analyst spends reviewing individual application.			
2007	Increase small business success by bridging competitive opportunity gaps facing entrepreneurs	Technology	Effectiveness	User Requirements	The number of analytical reports that can be generated to evaluate the HUBZone portfolio.			
2008	Increase small business success by bridging competitive opportunity gaps facing entrepreneurs	Customer Results	Service Coverage	Frequency and Depth	The total amount of contract dollars going to HUBZone firms in a given year.			
2008	Increase small business success by bridging competitive opportunity gaps facing entrepreneurs	Mission and Business Results	Economic Development	Business and Industry Development	Number of jobs reported for HUBZone communities.			
2008	Increase small business success by bridging competitive	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Amount of time individual analyst spends reviewing			

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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	opportunity gaps facing entrepreneurs				individual application.			
2008	Increase small business success by bridging competitive opportunity gaps facing entrepreneurs	Technology	Effectiveness	User Requirements	The number of analytical reports that can be generated to evaluate the HUBZone portfolio.			
2009	Increase small business success by bridging competitive opportunity gaps facing entrepreneurs	Customer Results	Service Coverage	Frequency and Depth	The total amount of contract dollars going to HUBZone firms in a given year.			
2009	Increase small business success by bridging competitive opportunity gaps facing entrepreneurs	Mission and Business Results	Economic Development	Business and Industry Development	Number of jobs reported for HUBZone communities.			
2009	Increase small business success by bridging competitive opportunity gaps facing entrepreneurs	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Amount of time individual analyst spends reviewing individual application.			
2009	Increase small business success by bridging competitive opportunity gaps facing entrepreneurs	Technology	Effectiveness	User Requirements	The number of analytical reports that can be generated to evaluate the HUBZone portfolio.			
2010	Increase small business success by bridging competitive opportunity gaps facing entrepreneurs	Customer Results	Service Coverage	Frequency and Depth	The total amount of contract dollars going to HUBZone firms in a given year.			
2010	Increase small business success by bridging competitive opportunity gaps facing entrepreneurs	Mission and Business Results	Economic Development	Business and Industry Development	Number of jobs reported for HUBZone communities.			
2010	Increase small business success by bridging competitive opportunity gaps facing entrepreneurs	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Amount of time individual analyst spends reviewing individual application.			
2010	Increase small business success by bridging competitive opportunity gaps facing entrepreneurs	Technology	Effectiveness	User Requirements	The number of analytical reports that can be generated to evaluate the HUBZone portfolio.			
2011	Increase small business success by bridging competitive opportunity gaps facing entrepreneurs	Customer Results	Service Coverage	Frequency and Depth	The total amount of contract dollars going to HUBZone firms in a given year.			
2011	Increase small business success by bridging competitive opportunity gaps facing entrepreneurs	Mission and Business Results	Economic Development	Business and Industry Development	Number of jobs reported for HUBZone communities.			
2011	Increase small business success by bridging competitive	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Amount of time individual analyst spends reviewing			

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	opportunity gaps facing entrepreneurs				individual application.			
2011	Increase small business success by bridging competitive opportunity gaps facing entrepreneurs	Technology	Effectiveness	User Requirements	The number of analytical reports that can be generated to evaluate the HUBZone portfolio.			

Section E: Security and Privacy (IT Capital Assets only)

In order to successfully address this area of the business case, each question below must be answered at the system/application level, not at a program or agency level. Systems supporting this investment on the planning and operational systems security tables should match the systems on the privacy table below. Systems on the Operational Security Table must be included on your agency FISMA system inventory and should be easily referenced in the inventory (i.e., should use the same name or identifier).

For existing Mixed-Life Cycle investments where enhancement, development, and/or modernization is planned, include the investment in both the "Systems in Planning" table (Table 3) and the "Operational Systems" table (Table 4). Systems which are already operational, but have enhancement, development, and/or modernization activity, should be included in both Table 3 and Table 4. Table 3 should reflect the planned date for the system changes to be complete and operational, and the planned date for the associated C&A update. Table 4 should reflect the current status of the requirements listed. In this context, information contained within Table 3 should characterize what updates to testing and documentation will occur before implementing the enhancements; and Table 4 should characterize the current state of the materials associated with the existing system.

All systems listed in the two security tables should be identified in the privacy table. The list of systems in the "Name of System" column of the privacy table (Table 8) should match the systems listed in columns titled "Name of System" in the security tables (Tables 3 and 4). For the Privacy table, it is possible that there may not be a one-to-one ratio between the list of systems and the related privacy documents. For example, one PIA could cover multiple systems. If this is the case, a working link to the PIA may be listed in column (d) of the privacy table more than once (for each system covered by the PIA).

The questions asking whether there is a PIA which covers the system and whether a SORN is required for the system are discrete from the narrative fields. The narrative column provides an opportunity for free text explanation why a working link is not provided. For example, a SORN may be required for the system, but the system is not yet operational. In this circumstance, answer "yes" for column (e) and in the narrative in column (f), explain that because the system is not operational the SORN is not yet required to be published.

Please respond to the questions below and verify the system owner took the following actions:

1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment: Yes
 - a. If "yes," provide the "Percentage IT Security" for the budget year: 0.140000
2. Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment. Yes

3. Systems in Planning and Undergoing Enhancement(s), Development, and/or Modernization - Security Table(s):			
Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Date of Planned C&A update (for existing mixed life cycle systems) or Planned Completion Date (for new systems)
HUBZone Certification Tracking System (Modernized)	Contractor and Government	12/31/2007	12/21/2007

4. Operational Systems - Security Table:							
Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level (High, Moderate, Low)	Has C&A been Completed, using NIST 800-37? (Y/N)	Date Completed: C&A	What standards were used for the Security Controls tests? (FIPS 200/NIST 800-53, NIST 800-26, Other, N/A)	Date Complete(d): Security Control Testing	Date the contingency plan tested
HUBZone Certification Tracking System	Contractor and Government	Low	Yes	7/25/2006	FIPS 200 / NIST 800-53	8/23/2006	8/23/2006

5. Have any weaknesses, not yet remediated, related to any of the systems part of or supporting this investment been No

identified by the agency or IG?

a. If "yes," have those weaknesses been incorporated into the agency's plan of action and milestone process? Yes

6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses? No

a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness.

7. How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above?

The HCTS is operated by on-site contractors who must comply with all security and System Development Methodology (SDM) requirements issued by the SBA Office of Chief Information Officer. This includes contractor personnel participation in Agency-sponsored security briefings, training and compliance audits. In addition, each element of HUBZone system development is reviewed by the HUBZone Security Officer (in collaboration with others in Agency's IT security field) to make certain that programs and procedures being evolved comply with existing Federal regulations. Specifically SBA uses the following methods to monitor, verify, and validate contractor security procedures:

MONITORED -- Contractors secured to perform services on the HCTS are pre-screened on a need-to-access basis and required to submit a database access form that is signed by two levels of senior HUBZone personnel before routing down to the Office of the Chief Information Officer for approval by the chief of IT Security. [NOTE: No contractor is given global access to HCTS or its data and each individual access action is governed by a defined role. The activity for each role operates against a stored procedure within a database maintained by the OCIO and supervised by an OCIO security group.]

VERIFIED -- Only when the IT Security Office screening is completed (above) is the individual assigned a specific predefined role and granted access to the system to perform the task. At the conclusion of that task, the contractor must present a fully completed review sheet and the task is evaluated by senior HUBZone personnel. The task sheet is then signed by the HUBZone Project Manager and at least one other senior HUBZone official.

VALIDATED -- As with all roles within the HCTS, any action taken is recorded in the database (activity and time/date record by unique user ID) and the action, as well as all identifying elements, are passed for review to the next level of administrative review. The activity is retained so that it can be recalled at any time.

The process described above was evolved in accordance with the Agency's System Development Methodology (SDM) and applied to the contract staff working under the bridge contract now in place. There is a provision included in the newer system development contract, awarded to a new system developer at the end of FY06, which requires this contractor to comply in a similar fashion to all Agency SDM requirements.

8. Planning & Operational Systems - Privacy Table:					
(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
HUBZone Certification Tracking System	No	Yes	http://www.sba.gov/aboutsba/sbaprograms/foia/paias/index.html	Yes	http://www.sba.gov/idc/groups/public/documents/sba_program_office/foia_sys_of_rec.doc
HUBZone Certification Tracking System (Modernized)	No	Yes	http://www.sba.gov/aboutsba/sbaprograms/foia/paias/index.html	Yes	http://www.sba.gov/idc/groups/public/documents/sba_program_office/foia_sys_of_rec.doc
Details for Text Options:					
Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted.					
Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn't a current and up to date SORN.					
Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.					

Section F: Enterprise Architecture (EA) (IT Capital Assets only)

In order to successfully address this area of the capital asset plan and business case, the investment must be included in the agency's EA and Capital Planning and Investment Control (CPIC) process and mapped to and supporting the FEA. The business case must demonstrate the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target enterprise architecture? Yes

a. If "no," please explain why?

2. Is this investment included in the agency's EA Transition Strategy? Yes

a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent Initiative #14: EA - Migrate legacy SBA business applications to the target Application Architecture; move internal, paper-

annual EA Assessment.

based SBA business processes to the Intranet

b. If "no," please explain why?

3. Is this investment identified in a completed (contains a target architecture) and approved segment architecture? No

a. If "yes," provide the name of the segment architecture as provided in the agency's most recent annual EA Assessment.

4. Service Component Reference Model (SRM) Table:
 Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <http://www.egov.gov>.

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
Meta Data Management	Support the maintenance and administration of data that describes data.	Back Office Services	Data Management	Meta Data Management			No Reuse	5
Balanced Scorecard	Supports the listing and analyzing of both positive and negative impacts associated with a decision.	Business Analytical Services	Business Intelligence	Balanced Scorecard			No Reuse	10
Ad-hoc	Supports the use of dynamic reports on an as needed basis.	Business Analytical Services	Reporting	Ad Hoc			No Reuse	5
OLAP	Support the analysis of information that has been summarized into multidimensional views and hierarchies.	Business Analytical Services	Reporting	OLAP			No Reuse	2
Standardized/Canned	Supports the use of pre-conceived or pre-written reports.	Business Analytical Services	Reporting	Standardized / Canned			No Reuse	5
Self-service	Allows an organization's customers to sign up for a particular service at their own initiative.	Customer Services	Customer Initiated Assistance	Self-Service			No Reuse	25
Access Control	Defined access based on pre-defined roles of administration and responsibility	Digital Asset Services	Records Management	Digital Rights Management			No Reuse	1
Case Management	HUBZone Certification Tracking System (HCTS) which manages the life cycle of a particular claim or investigation within an organization to include creating, routing, tracing, assignment and closing of a case as well as collaboration among case handlers.	Process Automation Services	Tracking and Workflow	Case Management			No Reuse	25
Case Management	Manage the life cycle of a particular claim or investigation within an organization to include creating, routing, tracing, assignment and closing of a	Process Automation Services	Tracking and Workflow	Case Management			No Reuse	20

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4. Service Component Reference Model (SRM) Table:
 Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <http://www.egov.gov>.

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
	caser as well as collaboration among case handlers.							
User Management	Pre-defined role access	Process Automation Services	Tracking and Workflow	Case Management			No Reuse	1
Case Management	Manage the life cycle of a particular claim or investigation within an organization to include creating, routing, tracing, assignment and closing of a caser as well as collaboration among case handlers.	Process Automation Services	Tracking and Workflow	Case Management			No Reuse	1

a. Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.

b. A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

c. 'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

d. Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the percentage of the BY requested funding amount transferred to another agency to pay for the service. The percentages in the column can, but are not required to, add up to 100%.

5. Technical Reference Model (TRM) Table:
 To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Computers / Automation Management	Component Framework	Data Management	Database Connectivity	Open Database Connectivity (ODBC)
Ad Hoc	Component Framework	Data Management	Database Connectivity	Sybase Adaptive Server
OLAP	Component Framework	Data Management	Reporting and Analysis	OLAP
Information Retrieval	Component Framework	Presentation / Interface	Static Display	HTML
Intrusion Prevention	Component Framework	Security	Supporting Security Services	SSH
Email	Service Access and Delivery	Access Channels	Collaboration / Communications	Microsoft Outlook
Meta Data Management	Service Access and Delivery	Access Channels	Other Electronic Channels	System to system
Computers / Automation Management	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
Computers / Automation Management	Service Access and Delivery	Access Channels	Web Browser	Netscape Communicator
Access Control	Service Access and Delivery	Delivery Channels	Internet	
Access Control	Service Access and Delivery	Delivery Channels	Intranet	
Access Control	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	AT&T Global
Risk Management	Service Access and Delivery	Service Requirements	Legislative / Compliance	Privacy
Content Publishing and Delivery	Service Access and Delivery	Service Requirements	Legislative / Compliance	Section 508
Access Control	Service Access and Delivery	Service Requirements	Legislative / Compliance	Security
Computers / Automation Management	Service Access and Delivery	Service Requirements	Legislative / Compliance	Web Content Accessibility
Access Control	Service Access and Delivery	Service Transport	Supporting Network Services	HTTP
Access Control	Service Access and Delivery	Service Transport	Supporting Network Services	HTTPS
Access Control	Service Access and Delivery	Service Transport	Supporting Network Services	TBD - Planning
Decision Support and Planning	Service Platform and Infrastructure	Database / Storage	Database	Sybase
Network Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	

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5. Technical Reference Model (TRM) Table:				
To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.				
FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Access Control	Service Platform and Infrastructure	Delivery Servers	Application Servers	TBD - Planning
Data Warehouse	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Hard disk drive
Data Warehouse	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Microprocessor
Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	RAID
Data Exchange	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	RAM
Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Ethernet
Intrusion Prevention	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Firewall
Data Exchange	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	HUB
Case Management	Service Platform and Infrastructure	Software Engineering	Modeling	Case Management
Software Development	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Change Management
Software Development	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Issue Management
Software Development	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Requirements Management
Software Development	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Task Management
Software Development	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Version Management
Software Development	Service Platform and Infrastructure	Software Engineering	Test Management	Functional Testing
Software Development	Service Platform and Infrastructure	Software Engineering	Test Management	Useability Testing

a. Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications

b. In the Service Specification field, agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

6. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)? Yes

a. If "yes," please describe.

The HUBZone Office is supported by an advanced, Internet-based electronic system that resides on a Coldfusion server accessing a SYBASE database server. It is one of the most efficient and modern systems currently within the SBA and is linked to other complex databases such as the Department of Defense Central Contractor Registration (CCR) System and the SBA's internal Small Business Source System (SBSS). This linkage provides for maximum level processing efficiency that allows for minimal customer impact in terms of time and costs.

Exhibit 300: Part II: Planning, Acquisition and Performance Information

Section A: Alternatives Analysis (All Capital Assets)

Part II should be completed only for investments identified as "Planning" or "Full Acquisition," or "Mixed Life-Cycle" investments in response to Question 6 in Part I, Section A above.

In selecting the best capital asset, you should identify and consider at least three viable alternatives, in addition to the current baseline, i.e., the status quo. Use OMB Circular A-94 for all investments and the Clinger Cohen Act of 1996 for IT investments to determine the criteria you should use in your Benefit/Cost Analysis.

1. Did you conduct an alternatives analysis for this project? Yes
 - a. If "yes," provide the date the analysis was completed? 2/28/2006
 - b. If "no," what is the anticipated date this analysis will be completed?
 - c. If no analysis is planned, please briefly explain why:

2. Alternative Analysis Results: * Costs in millions
 Use the results of your alternatives analysis to complete the following table:

Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
This alternative represents the status-quo or do-nothing approach that would simply continue Agency past practices that were established in the 1960s.	Approach involves manually executing HUBZone Program business processes of certification, re-certification, program examination, and adjudication of protests and appeals.		
Update the current Internet based application for HUBZone Program and automated business processes with substantial embedded decision logic for certifications, re-certifications, program examinations, and adjudication of protests and appeals.	Contract-out systems design, development, and maintenance using any of the newer programming languages now available.		
Update the current Internet based application for HUBZone Program and automated business processes with substantial embedded decision logic for certifications, re-certifications, program examinations, and adjudication of protests and appeals.	Internally source systems design, development and maintenance.		
Update the current Internet based application for HUBZone Program and automated business processes with substantial embedded decision logic for certifications, re-certifications, program examinations, and adjudication of protests and appeals.	Contract-out systems design, development, and maintenance, retaining the current ColdFusion programming language.		

3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?

Update the current Internet based application for HUBZone Program and automated business processes with substantial embedded decision logic for certifications, re-certifications, program examinations, and adjudication of protests and appeals by contracting-out systems design, development, and maintenance using any of the newer programming languages now available.

This was chosen because, while higher risk element due to movement to new programming language, it yields the best combination of return on investment and discounted net return on investment.

In addition, for the reasons noted previously, given Federal procurement environment and its reliance on electronic commerce plus the efficiencies brought about by the use of such technologies, Alternative 1 proved most advantageous. With regard to the President's Management Agenda - Expand Electronic Government -- SBA will play a leading role in the government wide initiative to offer electronic services to citizens and small businesses. The HUBZone System is, at its core, an Internet Application Form and electronic certification process with substantial built-in decision logic that enables fast and efficient determination of eligibility for an important procurement preference program. Lastly, the HUBZone System supports the agency's Strategic Goal 2: Increase small business success by bridging competitive opportunity gaps facing entrepreneurs.

4. What specific qualitative benefits will be realized?

The HUBZone System fulfills the Congressional mandate to make easily available to small businesses located in economically distressed communities a a fully functioning certification system. The built in logic function allows a potential applicant to immediately determine upon entering certain fields of information whether they meet the most basic criteria for certification.

Moving to the newer programming languages, while more intial risk, should ultimately result in a more responsive and robust sytem that includes initial application, recertification and program exmination, the three major elements for program participation.

5. Will the selected alternative replace a legacy system in-part No
 or in-whole?

a. If "yes," are the migration costs associated with the migration to the selected alternative included in this investment, the legacy investment, or in a separate migration investment.

b. If "yes," please provide the following information:

List of Legacy Investment or Systems		
Name of the Legacy Investment of Systems	UPI if available	Date of the System Retirement

Section B: Risk Management (All Capital Assets)

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

- 1. Does the investment have a Risk Management Plan? Yes
 - a. If "yes," what is the date of the plan? 10/12/2004
 - b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? No
 - c. If "yes," describe any significant changes:

- 2. If there currently is no plan, will a plan be developed?
 - a. If "yes," what is the planned completion date?
 - b. If "no," what is the strategy for managing the risks?

3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule:
 This office is still refining the plan's cost and schedule adjusted with System Development Methodology (SDM) through surveys and discussions top arrive at our current cost schedule estimate. This will be refined even further throughout FY07.

Section C: Cost and Schedule Performance (All Capital Assets)

EVM is required only on DME portions of investments. For mixed lifecycle investments, O&M milestones should still be included in the table (Comparison of Initial Baseline and Current Approved Baseline). This table should accurately reflect the milestones in the initial baseline, as well as milestones in the current baseline.

- 1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748? No
- 2. Is the CV% or SV% greater than +/- 10%? (CV%= CV/EV x 100; SV%= SV/PV x 100) No
 - a. If "yes," was it the CV or SV or both?
 - b. If "yes," explain the causes of the variance:
 - c. If "yes," describe the corrective actions:
- 3. Has the investment re-baselined during the past fiscal year? No
 - a. If "yes," when was it approved by the agency head?

4. Comparison of Initial Baseline and Current Approved Baseline

Complete the following table to compare actual performance against the current performance baseline and to the initial performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., "03/23/2003"/ "04/28/2004") and the baseline and actual total costs (in \$ Millions). In the event that a milestone is not found in both the initial and current baseline, leave the associated cells blank. Note that the 'Description of Milestone' and 'Percent Complete' fields are required. Indicate 'O' for any milestone no longer active.

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date (mm/dd/yyyy)	Total Cost (\$M) Estimated	Completion Date (mm/dd/yyyy)		Total Cost (\$M)		Schedule (# days)	Cost (\$M)	
				Planned	Actual	Planned	Actual			
1	FY2005 System Development - Protest and Appeals	1/15/2005	\$0.122	1/15/2005	12/31/2004	\$0.122	\$0.122	15	\$0	100.00%
2	FY 2005 Maintenance	9/30/2005	\$0.326	9/30/2005	9/30/2005	\$0.326	\$0.326	0	\$0	100.00%
3	FY 2006 Systems Development - Decertification	11/30/2005	\$0.08699	11/30/2005	1/15/2006	\$0.08699	\$0.086	-46	\$-0.077301	10.00%
4	FY2006 Maintenance	9/30/2006	\$0.348	9/30/2006		\$0.43				0.00%
5	FY 2007 System Development - Customer Profile Update	11/30/2007	\$0.168266	11/30/2007		\$0.168266				0.00%
6	FY2007 Maintenance	9/30/2007	\$0.353	9/30/2007		\$0.353				0.00%
7	FY 2008 Maintenance	9/30/2008		9/30/2008						0.00%
8	FY 2009 Maintenance	9/30/2009		9/30/2009						0.00%
Project Totals		9/30/2009		9/30/2009	1/15/2006			1354	\$-0.077315	20.34%